

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

----- X  
:  
PHILLIP AINSWORTH, ALEXANDER CATTO, :  
FRED WEIDNER, BRIAN CAMPBELL, MARION :  
RUS, STEVE BUTZ, STEVEN KRASNE, DWIGHT :  
CASEY, DENNIS FRANCY, DAVID FALK, GUY :  
WOOD, JAMES HITCHCOCK, LORRAINE :  
HITCHCOCK, MAURICE HEARD, and JAMES :  
HAMLETT, :

Petitioners, :

- vs - :

SPARTAN CAPITAL SECURITIES, LLC and JOHN :  
LOWRY, :

Respondents. :  
----- X

Civ. A. No. 1:25-cv-5039 (DEH)

**RESPONDENTS SPARTAN CAPITAL SECURITIES, LLC AND JOHN LOWRY'S  
NOTICE OF CROSS-MOTION TO CONFIRM ARBITRATION AWARDS**

**PLEASE TAKE NOTICE**, that upon this Notice of Cross-Motion, the Memorandum of Law in support thereof, and the Declaration of John J. Elliott, Esq. dated July 30, 2025 and the exhibits thereto, Respondents Spartan Capital Securities, LLC and John Lowry hereby cross-move this Court before the Honorable Dale E. Ho at the Thurgood Marshall Courthouse, 40 Foley Square, New York, New York 10007, on a date and at a time designated by the Court, for an Order:

(a) pursuant to 9 U.S.C. § 9, confirming the March 31, 2025 award in FINRA Case Number 23-00655 (ECF 1-2), captioned *Phillip Ainsworth, Alexander Catto, Fred Weidner, Brian Campbell, Marion Rus, Steve Butz, Steven Krasne, Dwight Casey, Dennis Francy, David Falk, and Guy Wood v. Spartan Capital Securities, LLC*;

(b) pursuant to 9 U.S.C. § 9, confirming the February 20, 2025 order and March 14, 2025 order and award entered in favor of Respondents (Elliott Decl. Ex. 13 and ECF 1-4), awarding Respondents' \$19,743 in attorneys' fees, owed jointly and severally by the Hitchcock Claimants in FINRA Case Number 24-00703, captioned *Lenny F. Millen, Jr., James Hitchcock, Lorraine Hitchcock, Maurice Heard, and James Hamlett v. Spartan Capital Securities, LLC and John Lowry*;

(c) denying Petitioners' Petition to Vacate such awards; and

(d) granting such other and further relief as this Court may deem just and proper.

Dated: New York, New York  
July 30, 2025

SICHENZIA ROSS FERENCE CARMEL LLP

/s/ John J. Elliott

Richard J. Babnick Jr.

John J. Elliott

1185 Avenue of the Americas, 31st Floor

New York, New York 10036

(212) 930-9700

rbabnick@srfc.law

jelliott@srfc.law

*Attorneys for Respondents Spartan Capital  
Securities, LLC and John Lowry*